

APPENDIX III

CHAPTER 25

RECORDS, REPORTS, AND OTHER INFORMATION THAT MAY BE REQUIRED

This appendix lists other sections of the commission's Substantive Rules, **in addition to those found in Chapter 25, Subchapter D**, that contain additional requirements for records, reports, and other required information that electric utilities, apartment owners or other persons may be required to provide to the commission. This appendix is to assist persons in locating the requirements. Failure to list a requirement in this appendix does not relieve the person responsible for filing the information of the requirement.

DESCRIPTION OF RECORD	RULE LOCATION
Records of deposit	§25.24(i)
Billing information and record retention	§25.25
Written plan for Spanish Language requirements	§25.26(b)
Documentation of switchovers	§25.27(c)
Record of complaints	§25.30(c)(3)
Maps and description of all electric utility facilities	§25.31(b)(4)
Customer information packets	§25.31(c)
Price to beat filing requirements	§25.41(f)(1)(C), (f)(3)(A) and (D)
Quarterly reports beginning January of each year - reporting customer information	§25.43(s)(1)-(3)
Voltage surveys	§25.51(e)(2)
Record of interruption	§25.52(d)
Summary Report of significant interruptions	§25.52(e)(2)
Emergency Operations Plan	§25.53(c) and (g)
Weather emergency preparedness reliability standards for a generation entity – Winter season preparations. By December 1 each year, a generation entity must complete winter weather emergency preparation measures for each resource under its control. If necessary to come into compliance, a generation entity must update its winter weather emergency preparation measures no later than one year after ERCOT files a historical weather study report under §25.55(i).	§25.55(c)(1) and (2)
Summer season preparations -- By June 1 each year, a generation entity must complete summer weather emergency preparation measures for each	

DESCRIPTION OF RECORD	RULE LOCATION
<p>resource under its control.</p> <p>If necessary to come into compliance, a generation entity must update its summer weather emergency preparation measures no later than one year after ERCOT files a historical weather study report under §25.55(i).</p>	
<p>Declaration of preparedness -- No earlier than November 1 and no later than December 1 of each year, a generation entity must submit a declaration of winter weather preparedness for the upcoming winter season.</p> <p>No earlier than May 1 and no later than June 1 of each year, a generation entity must submit a declaration of summer weather preparedness for the upcoming summer season.</p> <p>A generation entity must submit the appropriate declaration of preparedness to ERCOT prior to returning a mothballed, outaged, or decommissioned resource to service during the winter or summer season. For any new or repowered resource, a generation entity must submit the appropriate declaration of preparedness prior to the resource commissioning date established in the ERCOT interconnection process for resources.</p>	§25.55(c)(3)(A), (B), and (C)
<p>Declaration of preparedness -- No later than December 20 of each year, ERCOT must file with the commission a compliance report that addresses whether each generation entity has submitted the declaration of winter weather preparedness required by §25.55(c)(3)(A) for each resource under the generation entity's control.</p> <p>No later than June 20 of each year, ERCOT must file with the commission a compliance report that addresses whether each generation entity has submitted the declaration of summer weather preparedness required by §25.55(c)(3)(B) for each resource under the generation entity's control.</p>	§25.55(c)(4) and (5)

<p>ERCOT inspection of resources -- ERCOT must provide each generation entity at least 72 hours' written notice of an inspection unless otherwise agreed by the generation entity and ERCOT.</p> <p>ERCOT inspection report -- ERCOT must provide a written report on its inspection of a resource to the generation entity.</p>	<p>§25.55(d)(1)(A) and (2)(A)</p>
<p>Weather-related failures by a generation entity to provide service -- ERCOT must notify a generation entity and commission staff of the generation entity's repeated or major weather-related forced interruption of service.</p> <p>Upon notification from ERCOT, the generation entity must contract with a qualified professional engineer to assess its weather emergency preparation measures, plans, procedures, and operations.</p> <p>The generation entity must submit the qualified professional engineer's assessment to the commission and ERCOT within 15 calendar days of receiving the assessment.</p>	<p>§25.55(e)</p>
<p>Weather emergency preparedness reliability standards for a TSP –</p> <p>Winter season preparations. By December 1 each year, a TSP must complete winter weather preparation measures for its transmission facilities.</p> <p>If necessary to come into compliance, a TSP must update its winter weather preparation measures no later than one year after ERCOT files a historical weather study report under §25.55(i).</p>	<p>25.55(f)(1)</p>
<p>Summer season preparations. By June 1 each year, a TSP must complete the following summer weather preparation measures for its transmission facilities.</p> <p>If necessary to come into compliance, a TSP must update its summer weather preparation measures no later than one year after ERCOT files a historical weather study report under §25.55(i).</p>	<p>§25.55(f)(2)</p>

<p>Declaration of preparedness -- A TSP must submit to ERCOT, no earlier than November 1 and no later than December 1 of each year, a declaration of winter weather preparedness for the upcoming winter season.</p> <p>No earlier than May 1 and no later than June 1 of each year, a TSP must submit a declaration of summer weather preparedness for the upcoming summer season.</p>	<p>§25.55(f)(3)(A) and (B)</p>
<p>No later than December 20 of each year, ERCOT must file with the commission a compliance report that addresses whether each TSP has submitted the declaration of winter weather preparedness required by §25.55(f)(3)(A) for each transmission substation or switchyard maintained by the TSP.</p> <p>No later than June 20 of each year, ERCOT must file with the commission a compliance report that addresses whether each TSP has submitted the declaration of summer weather preparedness required by §25.55(f)(3)(B) for each transmission substation or switchyard maintained by the TSP.</p>	<p>§25.55(f)(4) and (5)</p>
<p>ERCOT inspections of transmission facilities -- ERCOT must provide each TSP at least 72 hours' written notice of an inspection unless otherwise agreed by the TSP and ERCOT.</p> <p>ERCOT inspection report -- ERCOT must provide a written report on its inspection of a transmission system or facility to the TSP.</p>	<p>§25.55(g)(1)(A) and (2)</p>
<p>Weather-related failures by a TSP to provide service -- ERCOT must notify a TSP and commission staff of the TSP's repeated or major-weather related forced interruption of service. Upon notification from ERCOT, the TSP must contract with a qualified professional engineer to assess its weather emergency preparation measures, plans, procedures, and operations.</p> <p>The TSP must submit the qualified professional engineer's assessment to the commission and ERCOT within 15 calendar days of receiving the assessment.</p>	<p>§25.55(h)</p>

ERCOT historical weather study report -- ERCOT must study historical weather data across each weather zone classified in the ERCOT protocols. ERCOT must file with the commission a report summarizing the results of the study at least once every five years, beginning no later than November 1, 2026.	§25.55(i)
Due Dates of Reports for Electric Utilities	§25.71(f)
Financial and Operating Reports	§25.73
Report on Change in Control, Sale of Property, Purchase of Stock, or Loan	§25.74
Gross Receipts Assessment Report	§25.76
Equal Opportunity Reports	§25.79
Annual Report on Historically Underutilized Businesses	§25.80
Service Quality Reports	§25.81
Transmission Construction Reports	§25.83
Generating Capacity Reports	§25.91
Wholesale Electricity Transaction reports	§25.93(d) and (e)
Electric utility's report on utility's activities by May 1 of each year	§25.94
Storm Hardening Plan Summary shall be filed and updated at least every five years	§25.95(d)
Vegetation Management Report due May 1 of each year	§25.96(f)
Employee Training Report	§25.97(d)
Five Year Report	§25.97(e)
Annual Report	§25.97(f)
All new electric transmission lines shall be reported to the Commission	§25.101(b)(3)
Repair or construction of transmission facilities due to emergency operations shall be reported to the Commission	§25.101(c)(3)
Routine activities associated with transmission facilities shall be reported to the Commission	§25.101(c)(5)
Registration, Update and Renewal by Power Marketers:	§25.105
Renewal of registration by power marketers on or before November 1 of each calendar year	§25.105(d)
REP financial documentation requirements	§25.107(f)

Option 1 REP reporting requirements: An Option 1 REP must file with the commission an annual and a semi-annual report each year. The annual report is due on March 5, or 65 days after the end of the REP's fiscal year; or if the REP elects to maintain an executed version of the commission approved standard form irrevocable guaranty agreement as its access to capital requirement under subsection (f)(1)(A) of this section, then 65 days after the end of the guarantor's fiscal year. The semi-annual report is due on August 15, or 225 days after the end of the REP's fiscal year; or if the REP elects to maintain an executed version of the commission approved standard form irrevocable guaranty agreement as its access to capital requirement under subsection (f)(1)(A) of this section, then 225 days after the end of the guarantor's fiscal year.	§25.107(i)
PGC or self-generator registration and renewal of registration requirements	§25.109
PGC or self-generator registration renewal by February 28 of every other calendar year	§25.109(h)
Post-registration requirements for aggregators	§25.111(i)
Requirements for a person seeking to register as a broker	§25.112(c)
Meter Records	§25.122
Records of certifications and calibrations	§25.124(d)(5)
Report detailing meter tampering due April 1 of each calendar year	§25.125(e)
Report detailing meter tampering due April 1 of each calendar year	§25.126(i)
Record of station output and purchases of energy	§25.127(b)
Record of automatic circuit breaker operations	§25.128(b)
Each TDU must retain the signed, written acknowledgement for at least two years after a non-standard meter is removed from a customer's premises	§25.133(d)(1)(D)
Maintain records and reports re: billing from the utility to the apartment house owner, calculation of the average cost per billing unit	§25.141(c)

Maintain records and reports regarding billing from the utility to the apartment owner, calculation of the average cost per billing unit, all submeter readings and test results and tenant billings	§25.142(c)
Annual reports on new generating facilities owned or operated in Texas	§25.172(h)
Annual report by program administrator pertaining to renewable energy power generators and retail entities	§25.173(g)(11)
Energy efficiency plans and reports shall be filed by April 1 of each year	§25.181(l)
Evaluation, measurement, and verification (EM&V) contractor's report	§25.181(o)
Reporting and evaluation of energy efficiency programs	§25.183
Tariff for wholesale transmission service at distribution level voltage	§25.191(d)(2)(C)
Current year's average 4CP demand for each DSP	§25.192(d)
Beginning with the January 2023 reporting month, ERCOT must file a public report with the commission stating the total amount of energy imported and the total amount of energy exported over each DC tie for the calendar month. The report must also include the total amount of energy exported from the ERCOT region during the reporting month and each of the preceding 11 calendar months, reported by scheduling entity. Each report must be filed within 45 days of the end of the reporting month.	§25.192(e)(4)
TSPs shall file reports that will permit the Commission to monitor their transmission costs and revenues	§25.192(h)(7)
Semi-annual reports required to monitor costs recovered through the TCRF clause	§25.193(e)
Contracts for all new interconnection agreements	§25.195(e)
Pre-Interconnection studies for network interconnection of distribution generation	§25.211(i)
Designation of utility's dist. gen. contact person	§25.211(l)(2)
Reporting requirements for applications received for interconnection and parallel operation of distributed generation	§25.211(n)
Testing of protection systems – Customer will maintain records of maintenance activities and a log of generator operations for generation systems greater than 500 kW.	§25.212(i)

T&D utilities shall file tariffs for metering within 60 days of effective date	§25.213(b)(7)
Commission review of electric utility middle mile broadband service plan.	§25.218(f)
Retail Access tariff - Not later than the 90th day before the date a municipally owned utility or electric cooperative to which this rule applies implements customer choice, the municipally owned utility or electric cooperative must file with the commission its tariff governing access by competitive retailers to retail customers connected to the delivery system of the municipally owned utility or electric cooperative using the pro-forma access tariff in §25.219(d)	§25.219(c)
Electric utility costs separation compliance filing	§25.221(d) and (e)
Descriptions of energy services	§25.223(f)
Monthly reports containing all information required to monitor monthly fuel-related costs and revenues, ...	§25.235(c)
Petitions to revise fuel factors.	§25.237(d)
Monthly reports of PCRF over- and under-recovery amounts until no amounts remain	§25.238(k)
Tariffs	§25.241
Rates for sales to qualifying facilities	§25.242(d)(2)
Data requests for large electric utilities (avoided costs, addition of capacity, estimated capacity costs, etc.)	§25.242(e)(2) and (4)
Specific requirements for small electric utilities (avoided costs, capacity, etc.)	§25.242(e)(3)
Financial and operating reports pursuant to §25.73	§25.243(h)
Affidavit certifying that the TDU has accurately identified and billed nonresidential secondary service customers who cannot be charged a demand ratchet	§25.244(d)
Rate filing package	§25.246(c)(1)
Rate review schedule	§25.247
Report to renewable energy tariff subscribers	§25.251(h)
Customer education program for renewable energy	§25.251(j)
Request for approval of environmental clean-up cost effectiveness determinations	§25.261(e)
Obligation to file a true-up proceeding	§25.263(d)
REPs shall provide information to the independent third party as needed for calculations of true-up of PTB revenues	§25.263(j)(6)

Accounting policies and procedures that assure the electric utility is adequately compensated by the holding company or affiliate	§25.271(c)(2)(E)
Notice of conflict with FERC or SEC orders or regulations regarding Code of Conduct	§25.272(b)(3)
Update to affiliate's internal code of conduct and compliance plan	§25.272(i)(2)
Code of Conduct compliance audits	§25.272(i)(3)
Code of Conduct informal complaint procedure	§25.272(i)(4)
Notice of conflicts with FERC or SEC orders or regulations regarding contracts between electric utilities and competitive affiliates	§25.273(b)(3)
Contracts with competitive affiliates	§25.273(e)
Written declaration of structural or functional unbundling	§25.275(b)(2)
Report of total metered electric energy delivered through TDBU's system (annual filing)	§25.275(b)(6)
Annual report of code-related activities	§25.275(d), including information in (e), (f), (n)(2)(E), and (o)(1)(h)
Report of deviations from code of conduct	§25.275(g)
Employee transfers and temporary assignments	§25.275(i)(2)(C) and (D)
Separate books and records	§25.275(i)(4)
Notice of newly created affiliates	§25.275(h)
Notice of provision of aggregate customer information	§25.275(l)(2)
Code implementation filing	§25.275(n)(1)
Complaint procedure	§25.275(n)(2)
Records of transactions involving competitive energy-related activities	§25.275(o)(1)(D)
Reporting and auditing requirements	§25.275(o)(3)
Agreements between electric utilities and institutional trustees or investment managers	§25.301(b)(3)
Cost study and funding analysis	§25.303(f)(2)
Annual report due on May 15 of each year on status of Decommissioning Trust Fund	§25.303(f)(6)
Annual report due by May 1 of each year on status and administration of trusts	§25.304(g)
Business separation plan	§25.342(c) and (e)
Petitions relating to the provisions of competitive energy services	§25.343(d)
Filing requirements for competitive energy services	§25.343(e)
Cost separation	§25.344(c)
Recovery of stranded costs	§25.345(g)
Allocation of stranded costs	§25.345(h)

Persons owning or operating new on-site generation or eligible on-site generation shall file information required by §25.105	§25.345(i)(6)
Annually - TSPs and transmission service customers in the ERCOT region shall provide to ERCOT historical information concerning peak loads and resources connected to the TSPs system	§25.361(h)
ERCOT annual report, operations report and plan, quarterly report, emergency, and meeting periodicity report	§25.362(i)
Utilities' annual report due January 31 st of each year reporting completion of items required	§25.422(f)
Reporting by market participants and independent organizations (status reports due)	§25.431(j)(3)
Retail competition pilot project compliance filings	§25.431(l)
Record retention requirements	§25.474(i)
Performance reports showing actual and estimated meter reads, etc.	§25.474(p)(3)
Records of deposits	§25.478(h)
Annual reporting requirement	§25.480(n)
Record of customer notifications	§25.484(g)
Record of all telephone numbers contacted or attempted to contact for telemarketing purposes	§25.484(i)
Informal complaint record retention	§25.485(e)(1)(C)
Success rate in processing standard electronic move-in requests for residential customers; and success rate in processing requests for reconnection of electric service	§25.490(c)
Retail electric provider annual reports	§25.491(c)
TDU shall report to the commission by March 1 of each year beginning in 2012, the number of customers for each type of customer and number of applications rejected as a result of incomplete forms, the number of requests from REPs for disconnection, and the number of disconnections and reconnections completed	§25.497(i)
Records relative to market participants' activities in the ERCOT	§25.503(n)(2)
Resource adequacy reports provided by ERCOT	§25.505(b)
Daily assessment of system adequacy	§25.505(c)
Filing of resource and transmission information with ERCOT	§25.505(d)
Operating Reserve Demand Curve (ORDC) report	§25.505(e)
Non-compliance report and record	§25.507(f)

Report due April 15 of each year - number of MW procured in each period, total dollar amount spent, the number and level of EEA events and the number of duration of deployments	§25.507(g)
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